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RECORDS RETENTION AND DISPOSAL SCHEDULE		

DEPARTMENT OF HEALTH AND MENTAL HYGIENE	BOARD OF PHYSICIAN QUALITY ASSURANCE
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	DESCRIPTION	RETENTION
	<p><u>SUPERSEDES SCHEDULES NOS. 1437, 645, 645-A-1 AND 674</u> Supersedes Schedule 1437, 645, 645-A-1, 674 of 1976 from the Board of Medical Examiners and 1977 from the Commission on Medical Discipline. (Effective 7-1-88, the Board of Physician Quality Assurance replaced the Board of Medical Examiners and Commission on Medical Discipline.)</p> <p><u>Allied Health Programs:</u></p>	
1	<p>Applications for Certification of Allied Health Professions under the jurisdiction of the Board. Form shows applicant's background, various certifications, and proof of having met educational and other requirements.</p> <p>Application to include the following:</p> <ul style="list-style-type: none"> a. Application form b. Copy of diploma c. Test score for National Certification d. Correspondence e. Proof of English language competency 	<p>Microfiche 1 copy within 12 months. After 20% random audit is complete, forward Master Silver Negative Roll to State Archives. Once written confirmation is received, destroy paper copy.</p>
2	<p>Renewals and Reinstatements</p>	<p>Do not microfiche. Retain original at Board office 2 years; then transfer to state records center & destroy after 2 years. Total retention: 4 yrs.</p>
3	<p>Closed files and withdrawals</p>	<p>Do not microfiche. Retain in Board office for 3 years. Then destroy.</p>

Schedule approved by Department, Agency or Division Representative: Date <u>10/2/97</u> Signature <u>J. Michael Compton</u> Typed Name <u>J. Michael Compton</u> Title <u>Executive Director, BPOA</u>	Schedule approved by Hall of Records Commission: Date <u>OCT 15 1997</u> Signature <u>Edward C. [unclear]</u>
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	DESCRIPTION	RETENTION
4	Allied Health Programs Committee minutes	Do not microfiche. Retain at Board office 10 years then, destroy.
5	Allied Health Committee Packets	Retain at Board office 1 year, then destroy.
6	<u>COMMUNICATIONS UNIT:</u> Board of Physician Quality Assurance Newsletter.	Retain copies at the Board office permanently. Send 19 copies of each new edition to the State Publications Program.
7	<u>COMPLIANCE UNIT:</u> a. Minutes from the Case Resolution Conferences, Weekly Review Panels and Executive Committee session, investigative reports and deliberations. Minutes of closed sessions are confidential, and arranged chronologically.	Retain paper copy at Board office 5 years; transfer to state records center for 5 years, then destroy.
8	b. Case Resolution Conference Panel Packets	Retain at Board office until no longer needed.
9	c. Weekly Review Panel Packets. Focus sheets and documentation for presentation of compliance cases for review.	Retain in Board office two years; then destroy.
10	d. Disciplinary Orders (Public). This file contains findings of fact, surrenders, consent agreements, transcripts of hearings and other public Board orders. File series includes decisions concerning physicians brought before the Board which are published in the Maryland Medical Journal.	Records to be microfiched and file to be retained permanently. Transfer Master Silver Negatives to State archives. Return original copies of medical records 3 months after closure. Destroy copies of medical records 3 months after closure.

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11	Disciplinary Order (NON-PUBLIC). This file contains confidential agreements between the Board and licensees including agreements to surrender license, transcripts of hearings and disposition agreements of impaired physicians.	Retain non-record reference copy at Board office until no longer needed. Return original copies of medical records 3 months after closure. Destroy copies of medical records 3 months after closure.
12	Open Investigation Files. Case files on physicians including complaint, response, subpoenas, medical records, investigative and peer review reports. Board deliberations and a summary of file documents. Files may include copies of patient records, hospital records, x-rays, etc.	Retain paper copy on site until case is closed, then follow retention for closed files (13 or 14). Retain copy of automated file on diskette at state documents center for additional 25 years.
13	Closed Investigative Files with no formal sanction. Files contain investigative material as in item 12. Series is kept secure and alphabetically.	Except for patient records retain working copy (paper) in office one year after closure. Transfer periodically to State Records Center for three additional years. Then destroy. Return original copies of medical records 3 months after closure. Destroy copies of medical records 3 months after closure.

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	<p>b. Closed Investigative Files with a formal sanction. (Public and Non-Public). Sanctions such as reprimands, terminations of probation, suspensions, revocations, surrender, probation, and disposition agreements. Files contain investigative material and hearing transcripts as in Item 12.</p>	<p>Retain in office for 5 years. Transfer to State Records for an additional 5 years, then destroy. Retain summary in automated data base in office for 20 years. Destroy copies of Medical Records 3 months after Final Order is executed. Return original Medical Records 3 months after Final Order is executed. Retain copies of Hearing Transcripts in office for 3 years, then destroy.</p>
14	<p>Persons investigated. (Automated Complaint Tracking History). Automated files contain names, addresses, incidents, renewal status, dates, actions taken, amounts listed and liability. Data for all licensees are indexed and searchable. Individual Persons Investigated (Automated Complaint files are updated as stages occur in investigation. There are entries of 6,600 + records as of 9-15-95.)</p> <p>EXECUTIVE UNIT:</p>	<p>All electronic data is backed up daily at BPQA. Data is stored offsite weekly for retrieval. Can be recovered through DHMH Disaster Recovery Procedures if necessary. Data is retained permanently.</p>
15	<p>Minutes of Proceedings: File contains Open and Closed minutes of the Board.</p> <p>a. Closed minutes contains investigative reports, hearings, reports of Board Counsel and deliberations. Minutes of closed sessions are confidential, and arranged chronologically.</p> <p>b. Open Minutes contains hearings and actions by the Board on regulations, Board elections, and future test dates. Board decisions on educational standards and policy, lists of licensed physicians and osteopaths, and allied health professionals under the Board's jurisdiction (physician assistants,</p>	<p>Records to be microfiched within 12 months. Retain original copies permanently. Transfer original copies periodically to State Archives.</p> <p>Records to be microfiched within 12 months. Retain original copies permanently. Transfer original copies periodically to State Archives.</p>

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	radiologic technicians and nuclear medical technologists, respiratory care therapists, emergency medical technologists, paramedics and cardiac rescue technicians). Minutes of the open session are arranged in chronological order.	Archives.
	C. Tapes of proceedings	Keep for 1 year, then destroy.
16	Board Packets	Retain one copy of the packet for one year, then destroy.
17	Practice of Medicine Committee Packets	Retain one copy of the packet for one year, then destroy.
18	Controlled Correspondence	Retain Electronic index of correspondence 3 years; retain paper copies 2 years, then destroy.
19	General Correspondence Files. This file contains correspondence, reports and records pertaining to the general business of the Board. Included is correspondence with federal agencies, state officials, local officials, associations (including the Medical and Chirurgical Faculty), hospitals, other state boards, state institutions and private individuals. This file includes: Advice and Opinions of the Attorney General; Advisory Opinions of the Board, Annual Reports - 7/1/80 to present, policy statements and Legislative History. There are reports to the American Medical Associations - legislation brought before the General Assembly. These files are	Except for the policy documents (Advice and Opinions of the Attorney General; Advisory Opinions of the Board, Annual Reports - 7/2/80 to present, Policy Statements and Legislative History), retain general correspondence for 3 years, then destroy. Policy documents are retained permanently.

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	DESCRIPTION	RETENTION
	arranged alphabetically by subject.	
20	Applications for Professional Corporations	Treat the one page applications (83 in FY 1994) as correspondence; package them up and destroy after 3 years.
	<u>FISCAL UNIT</u>	
21	Accounting Ledger Contains accounts, fees, technical expenses and individual expenses	Retain for three (3) years or until all audit requirements are fulfilled. Then destroy.
22	Budget Files	Retain for five (5) years or until all audit requirements are fulfilled. Then destroy.
23	Time sheets	Retain for three (3) years or until all audit requirements are fulfilled. Then destroy.
24	Expense reports, requisitions, purchase orders, and invoices	Retain for five (3) years or until all audit requirements are fulfilled. Then destroy.

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	DESCRIPTION	RETENTION
25	<p>LICENSURE UNIT</p> <p>Medical Registers. These are large register books of all applicants examined and licensed by the Board. Information includes, but is not limited to, individual's seat number, date of examination, name, age, last address, school of graduation, results of the examination, and general remarks. This record series has, in addition, a FLEX (Federal Licensing Examination) computer printout of test records begun in 1968. It is printed by the testing service twice yearly. File series is arranged chronologically by year and alphabetically therein.</p>	<p>Retain the large register books and State Exams permanently. Microfiche one copy of all books. Retain copy of microfiche and send Master Silver Negatives to State Archives. Transfer books periodically to State Archives</p>
26	<p>Applications for Initial Medical Licensure of physicians. This file may contain any or all of the following:</p> <ol style="list-style-type: none"> Application form Copy of medical school diploma Documentation of medical school graduation Documentation of postgraduate training Medical licensing examination history and scores Certification of scores and records of scores Disciplinary forms from the Federation of State Medical Boards and National Practitioners Data Bank State licensure verification form(s) from other states Documentation of English language competency - including TSE, OPI and TOEFL scores Attestation of good moral character Letters of reference from program director Copies of complaints, arrests, judgements, etc. Claims of speech impairment 	<p>Records to be microfiched within 12 months. Microfiche to be retained permanently in the Board office. After 20% random audit is complete, forward Master Silver Negative rolls to Maryland State Archives. Once written confirmation is received, destroy paper copy.</p>

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	DESCRIPTION	RETENTION
	<ul style="list-style-type: none"> n. Legal documents noting name changes o. ECFMG certificate p. 5th Pathway program certificate q. Licensure correspondence, i.e., letters of eligibility, ineligibility r. Transcript of scores from SPEX, if applicable s. Medical licensing exam history & scores; State exam t. List of disciplinary and adverse actions u. Verification of surrender of a medical license, if applicable v. Statement of applicants ability to practice medicine w. Primary source verification of medical school - I.E. AAMC and ECFMG reports 	
27	Physician Licensure Files (Closed)	<p>Do not microfiche. Retain file in Board office for 3 years, then destroy. Keep IML 2, 3, and 9 forms for five (5) years, then destroy. Keep any folder with compliance issues for five years, then destroy.</p>
28	Physician Licensure Files (Withdrawn)	See 27.
29	Unmatched Credentials (Initial Medical Licensure and Reinstatement)	<p>Keep for 1 year then destroy. Keep IML 2, 3 & 9 forms for 5 years then destroy.</p>
30	<p>Applications for licensure by Conceded Eminence. This file may contain any or all of the following:</p> <ul style="list-style-type: none"> a. Application form b. Letter of recommendation c. Evidence of teaching, research and achievement d. Applicant supervision form e. Consent to release information f. Attestation by a Dean of a medical school 	<p>Records to be microfiched within 12 months. Film to be retained permanently in the Board office. After 20% random audit is complete, forward Master Silver Negative rolls to Maryland State Archives. Once</p>

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	DESCRIPTION	RETENTION
	g. Competency in the English language form h. Federation disciplinary inquiry form i. State Board licensure verification form(s) j. Documentation of speech impairment, if applicable k. Certificate of physicians l. Verification of language of instruction m. Primary Source Verification of Medical School	written confirmation is received, destroy paper copy.
31	Application for reinstatement of physician licensure. This file may contain any or all of the following: a. Application form b. State licensure verification form(s) from other states c. Licensure correspondence, i.e., letter of reinstatement, letters of denial d. Documentation from physician as to why license was allowed to expire and why reinstatement is sought e. Transcript of scores, from SPEX, if applicable	Records to be microfiched within 12 months. Film to be retained permanently in the Board office. After 20% random audit is complete, forward Master Silver Negative rolls to Maryland State Archives. Once written confirmation is received, destroy paper copy.
32	Summary Record of Results on Medical Exam(pre 1972). These folio volumes contain the date, score and name of test for an applicant, including total percentile and average. The State Board Test scores are entered on applications from other states for proof of passing Maryland's Medical Boards. The volumes are arranged chronologically by date of test and alphabetically therein.	Retain permanently. Transfer in 20 years (A.D. 2012) to State Archives.
33	Inactive Status Application. This file may contain any or all of the following: a. Application form b. Licensure correspondence, i.e., letter indicating effective date of inactive status, letter indicating denial of inactive status.	Retain in Board office for two years. After two years, transfer to State Records Center and retain for 3 years then destroy.

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34	<p>Medical Specialties Identification. This file may contain any or all of the following:</p> <ul style="list-style-type: none"> a. Application form for ABMS certification b. Copy of ABMS certificate c. Letter of Specialty Designation 	<p>Retain in Board office for two years. After two years, transfer to State Records Center and retain for 3 years, then destroy.</p>
35	<p>Copies of recommendation made by Med-Chi. This file may contain any or all of the following:</p> <ul style="list-style-type: none"> a. Evaluation form b. Postgraduate training documentation 	<p>Retention is the same as Initial Medical Licensure (26).</p>
36	<p>Limited License for Postgraduate Teaching. This file may contain any or all of the following:</p> <ul style="list-style-type: none"> a. Application form b. Documentation of postgraduate teaching from program director(s) <ul style="list-style-type: none"> -from U.S. or foreign medical specialty boards -from medical school(s) where applicants taught -from medical directors where applicants practiced medicine -teaching institution supporting application of ability to communicate c. Statements of applicant's ability to practice medicine d. Examination results and dates of administration e. State Board examination, if applicable f. Proof of English language competency g. Claims of speech impairment h. Attestations to good moral character. i. Documentation of medical school graduation. 	<p>Retention is the same as Initial Medical Licensure (26).</p>

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	DESCRIPTION	RETENTION
37	Unlicensed Medical Practitioners a. Application form -Part A from applicant -Part B from program director b. License correspondence, i.e., letters of registration, denial letters.	Retention is the same as Initial Medical Licensure (26).
38	Licensure Numbers Book This book contains all of the names and license numbers of every physician licensed in Maryland from 1959-1995, fees paid, date a license was issued and a control number.	Microfiche one copy of all books, including the current book when it becomes full. Retain copy of microfiche and send Master Silver Negatives to State Archives.
39	Name Change and Replacement Registration Card Applications. This file may contain an application and supporting documentation.	Keep in Board office for two years, then destroy.
40	Physician Acupuncture Registration. This file may contain any or all of the following: a. An application form b. A certification(s) of completion of an Acupuncture Program c. Correspondence	Retention is the same as Initial Medical Licensure (26).

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	DESCRIPTION	RETENTION
41	Drug Dispensing Permits. This file may contain any or all of the following: a. Application c. Correspondence	Keep in Board office for five years, then destroy.
42	Exception from Licensure. This file may contain any or all of the following: a. Application form b. Supporting documentation regarding consulting physician. c. Letter of recommendation from Maryland Physician.	Keep in Board office for one year, then destroy.
	ROSTERS AND RENEWALS DATABASE UNIT:	
43	File Maintenance Sheets and other material to be entered into automated files. These should be maintained by the following units: Allied Health Programs Compliance Unit Licensure Unit	Retain for two years or until all audit requirements are fulfilled. Then destroy.
44	Physician Privilege Information File of names, license numbers and health care institution affiliations maintained in the automated physician privilege database since July 2, 1986.	Retain hard copy and diskette in office for two years, then destroy.
45	Application for physician renewal. This file may contain any or all of the following: a. Renewal application b. CME information	Retain for two years in the Board office, transfer to State Records center for 4 years, then destroy.

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	DESCRIPTION	RETENTION
46	Malpractice Settlement Files. File series includes paper and automated (diskette) reports of professional liability by insurance companies. Forms contain names of insurer, incident reports, names of insured, summaries of cases, dates, attorneys, costs and reviews by Board. Files are arranged chronologically and are confidential.	Retain complete file in office for five (5) years, then destroy. Retain entries in automated data base in office for twenty years, then destroy.
47	Malpractice Claims Files. File contains claims of malpractice in paper form and automated (Physician Privilege Data Base) form since July 1, 1986.	Retain in office for 7 years, then destroy. Retain copy of automated file on diskette in state documents center for additional 25 years. Thereafter, destroy.